You have received this "Request for Applications (RFA)" through USAID Internet site. If you have any questions regarding this RFA you may contact the USAID Official named in the cover letter of this solicitation. If you are not using Word 97 to view this document, you will have to save the document in the format of the wordprocessor that you are using in order to view and print any standard forms. The number of pages contained in this electronic copy may not exactly correspond to the hard paper copy, although generally all the information is contained herein.

The Agency is not responsible for any data/text that may not be received when retrieving this document electronically. If the recipient does not notify the contact person that they have obtained this document then any amendments to the document may not be available to the recipients. Amendments to solicitation documents generally contain information critical to the submission of an application.

Solicitation Number: Lebanon-00-001
Issuance Date: June 5, 2000
Closing Date: July 19, 2000
Closing Time: 3:00pm Jordan Local Time

Subject: **Request for Applications (RFA) No. Lebanon-00-001; Transparency and Accountability Grants (TAG) Activity**

Dear Prospective Applicants:

The United States Agency for International Development's Office of Transition Initiatives (USAID/OTI), an agency of the Government of the United States of America, invites U.S. Private Voluntary Organizations (PVOs) and Non-Governmental Organizations (NGOs) with established in-country presence to submit applications for a Cooperative Agreement under USAID/OTI-funded Anti-Corruption Initiative.

The purpose of the Transparency and Accountability Grants (TAG) Activity is to strengthen anti-corruption efforts in Lebanon. To achieve this objective, the grantee will identify and provide sub-grants to local actors for short-term, high-impact activities focused on furthering the principles of transparency and accountability.

USAID is seeking high quality applications meritorious of funding under the above stated activity. Subject to the availability of funds, it is anticipated that one (1) cooperative agreement will be awarded. The estimated amount of funds to be made available are $655,000 U.S. dollars for an initial one (1) year agreement, with approximately $500,000 amount reserved exclusively for sub-grant agreements to media institutions, civic groups and associations, local government, and in some instances, selected national government offices. Funding for this program may be extended subject to availability of funds and determination of overall program impact.

This RFA consists of this cover letter and the following sections, attachments, and annexes:

SECTION I: PROGRAM DESCRIPTION
SECTION II: INSTRUCTIONS AND CONDITIONS FOR APPLICATIONS
SECTION III: APPLICATION REVIEW AND EVALUATION PROCESS

Issuance of this RFA does not constitute a commitment by USAID to award a cooperative agreement and USAID reserves the right to reject any or all applications received. USAID shall not be liable for any costs incurred by applicants in the preparation and submission of an application.

Any questions concerning this RFA should be directed in writing to Rima Kayyal, Acquisition Specialist, fax: 962-6-592-0143,
e-mail: rkayyal@usaid.gov. Specify the RFA requested, and include your complete firm name, street address, telephone and fax no., and e-mail address. No telephone requests will be honored.

Depending upon the nature and frequency of questions, clarification(s), if required, will be provided to all applicants simultaneously. Applicants are required to provide complete addresses with telephone and fax numbers, and e-mail addresses. Failure to provide this information may result in an Applicant not receiving clarifications provided to other Applicants on time.

In the event of any inconsistency between the documents comprising this RFA, it shall be resolved by the following order of precedence: (1) Instructions and Conditions for Application (Section II); (2) Program Description (Section I); (3) the Attachments; and (4) this Cover Letter.

Applications and amendments thereto shall be submitted in sealed envelopes with the name and address of the applicant and RFA number clearly marked on the envelope. They should be sent to:

U.S. Mail Address:

Rima Kayyal
Acquisition Specialist
c/o American Embassy
USAID/Jordan
Unit 70206
APO AE 09892-0206

Local Mail Address:

Rima Kayyal
Acquisition Specialist
c/o American Embassy/Amman
USAID/Jordan
P.O. Box 354
Amman 11118
Jordan

Applicants should take account of the expected delivery time required by the application transmission method they choose, and are responsible to ensure applications are received at USAID/Jordan's Regional Contracting Office (and not in Washington, D.C. or any other location), by the due date and time specified at the beginning of this letter.

NOTE: Potential applicants are advised that funding for this activity is not yet available, but is expected prior to the expected time period for award.

Sincerely,

Jeffery D. Bell
Regional Agreement Officer
USAID/Jordan

3

SECTION I
PROGRAM DESCRIPTION

Transparency and Accountability Grants (TAG) ACTIVITY

A. INTRODUCTION

As part of initiative to support anti-corruption efforts in Lebanon, USAID's Office of Transition Initiatives (USAID/OTI), in conjunction with USAID/Lebanon, plans to fund a small grants program which will support short-term, high-impact activities by local actors focused on furthering the principles of transparency and accountability.

USAID intends to implement the program under a Cooperative Agreement with a U.S. Private Voluntary Organization (USPVO) or U.S. Non-Governmental Organization (USNGO) hereafter referred to as the recipient. The recipient will be responsible for managing the program and achieving a specific set of objectives.

USAID estimates that the recipient will need approximately 12 months to carry out this effort. USAID's estimate for this effort is US$655,000, with approximately $500,000 reserved exclusively for subgrant awards.

B. USAID's STRATEGIC OBJECTIVE:

USAID/OTI's Strategic Objective: Political transitions successfully advanced in priority, conflict-prone countries.

The activities proposed under this CA are designed to support USAID/OTI's Intermediate Result 2: Democratic political processes initiated, re-established, or expanded.

This activity also supports the USAID/Lebanon Mission's Strategic Objective 2: Increased effectiveness of institutions which support democracy.

C. BACKGROUND

The USAID Administrator created the Office of Transition Initiatives (OTI) in the Bureau for Humanitarian Response (BHR) to assist priority countries to make successful transitions from crisis to recovery and stability. The volatile nature of transitioning countries requires fast, emergency-type responses with immediate, visible and positive impacts.

Countries experiencing complex crises resulting from internal conflict and civil war have special needs that are often not addressed by traditional assistance programs. Fledgling governments in countries recovering from conflict or in fledgling democracies often need direct, targeted assistance to adequately identify and address the tremendous political and economic challenges facing them. Likewise, other sectors and segments of society within these countries require positive engagement and managed assistance to fulfill their role in promoting stable, democratic, political and economic systems.

USAID/OTI's strategic objectives are based on the premise that fast, direct, and overt political development assistance is needed as a catalyst to move countries towards greater stability.

With increasing percentages of U.S. foreign aid going to relieve the humanitarian emergencies that are being caused by civil strife, BHR/OTI is one of the first development agencies and International Organizations to specifically address the gap between relief and development.

USAID/OTI design country programs to address the fundamental constraints that inhibit good governance and economic functioning. Each country program has a set of objectives, a set of program performance indicators, an implementation strategy for accomplishing the program objectives, an approved budget, a plan for periodic program reviews and an exit strategy.

In Lebanon, USAID/OTI identified a window of opportunity, during a March 1999 assessment, to support anti-corruption efforts based on several factors. Following his election in November 1998, President Emile Lahoud launched an anti-corruption initiative, promising to make rule of law and clean government keystones of his administration. The government's commitment, and strong public support for these efforts, represent a critical opportunity to jump-start anti-corruption reform in Lebanon. USAID/OTI, in close cooperation with the USAID Mission in Lebanon, is implementing a four-component initiative to empower key Lebanese stakeholders -- local government, media, and civil society -- in their anti-corruption efforts. The four components include: 1) increasing public awareness of the costs of corruption through a national media campaign; 2) strengthening investigative journalism; 3) fostering transparency and accountability at the municipal government level; and 4) a small grants program to support anti-corruption efforts by indigenous groups. These activities (valued at $2.5 million) will be implemented from FY1999 through FY2001.

D. <u>OBJECTIVE</u>

The purpose of this CA is to strengthen anti-corruption efforts by supporting short-term, high-impact activities by local actors focused on furthering the principles of transparency and accountability.

To achieve this objective, it is anticipated that the recipient will award sub-grants to one or more local actors (media institutions, civic groups and associations, local governments, and in some instances, selected national government offices) in their efforts to further the principles of transparency and accountability.

E. PROGRAM FOCUS

To implement this program, it is expected that expatriate and local field staff of the recipient will need to develop and maintain wide-ranging contact with regional and local governing officials, community leaders, civil-society and private-sector actors, and ordinary citizens. These contacts will facilitate the development of the most appropriate grants and grantees. There will not be an outside advisory committee to assist in this process but rather the process is anticipated to be a “rolling” one whereby grants would be continuously approved and funded as they are identified by the recipient’s staff.

To develop new contacts, field staff might notify community groups and influential community figures about the kinds of activities eligible for funding, criteria for selection, and disqualifying factors. Field staff might also distribute standardized proposal formats to potential grantees. Since the emphasis of this program is to implement activities and not to develop grant proposal proficiency, field staff of the recipient may assist applicants in preparing grant proposals for submission to the recipient in order to speed up implementation of an activity.

Grants will be provided as cash payments but should be provided by the recipient in such a way as to minimize the potential for fraud and waste. For example, staggering payments in tranches, requiring receipts prior to releasing payments, and making final payments upon completion of the activity and submission of a final report.

Geographic distribution: It is anticipated that at least 40% of the projects must be awarded to groups conducting their activities outside of Beirut.

Sectoral distribution: No sectoral distribution will be required. Projects should be selected for funding based on merit including capability of the grantee to carry out the activity and the potential impact.

Eligible Projects

Criteria for consideration of whether an activity is eligible for funding might include if the project:

- specifically addresses or strengthens transparency and accountability in the context of dealing with corruption in Lebanon;
- has a tangible product as the end result;
- has a visible and quick impact which contributes to longer-term sustainable efforts aimed at improving transparency and accountability in Lebanon;
- is action-oriented rather than academic/research-oriented; [1]
- has a completion date of less than 6 months. It is expected that most grants will be executed in less than 3 months to maintain the program's focus on short-term, quick-impact activities;
- is non-partisan (i.e. promoting a particular political figure or group); and
- is not designated as a terrorist organization by the United States Department of State (or affiliated with one).

A project might also be given a preference if it forms a partnership with a public entity (such as municipalities, central government ministries and agencies, and/or public corporations). These partnerships would need to be formalized through written documentation between the sub-grantee and the partnering public agency.

<u>Capacity Assessment And Technical Assistance To Grant Recipients</u>

Prior to the signing of a sub-grant agreement, the recipient must:

- assess the capacity of the sub-grantee to ensure that it has the administrative and managerial capacity to successfully complete the grant;
- assess the ability of the sub-grantee to conduct business, and especially the grant implementation, with transparency and accountability;
- provide limited technical assistance by the recipient to assist in meeting the previous two conditions; and
- retain the right to reject any group and its project if the above three conditions are not met to the satisfaction of the recipient.

- [1] Awareness building components can and should be built into proposals but research projects and awareness building activities only are not eligible for funding. Research, however, may be part of a proposal provided the research is directly related to supporting an action or activity and is not the primary emphasis of the proposal.

Grant Approval

The Recipient Chief of Party (COP) is authorized to make the final decision regarding approval of grant proposals, and indicate in writing his/her approval or rejection and the date in the spaces provided on a standardized grant proposal form.

Monitoring and Reporting on Sub-grants

The recipient shall receive program and budget reports from sub-grant recipients. At a minimum, a final report following the activity should be submitted. The recipient may request more frequent reporting to ensure proper implementation of the activity. The recipient will also input grant information into USAID/OTI's standardized grants database using Microsoft Access and including an impact score (see Appendix B).

Grant Amounts

It is anticipated that grant funds will average between $5,000 and $20,000 per activity. Grants exceeding $20,000 will require prior approval by the USAID/OTI Lebanon Program Manager in Washington or his/her designee.

Matching Requirements

It is expected that the sub-grant applicant will make some contribution to the proposed activity for which they are seeking funding. This can be either in-kind (such as labor) or cash. The purpose of a matching requirement is three-fold: 1) to leverage additional resources towards achieving the program's objectives; 2) to give the sub-grantee a stake in the outcome of an activity; and 3) to regulate demand for program resources when demand exceeds supply. While there is no minimum amount or percentage, the contribution should generally be a substantive one rather than a token contribution.

OUTPUTS

1. Develop a field manual (in English and Arabic) and accompanying training, in collaboration with USAID/OTI and USAID/Lebanon, which defines and explains for field staff, program priorities, requirements and processes.

2. Develop procedures to be followed for the selecting, processing, monitoring, and evaluating of grants in conjunction with USAID/OTI and USAID/Lebanon. This plan must be submitted to USAID/OTI and USAID/Lebanon <u>at least seven (7) days prior</u> to initiation of grant activity.

3. Conduct an initial in-house process review and submit an attendant report <u>within 30 days</u> of the commencement of this program confirming all equipment, funds, and systems are in place, and certify that the recipient is prepared

to initiate grant activities.

4. Electronically submit a Quarterly Program Status and Financial Report to, and in a format agreed upon by, USAID/OTI and USAID/Lebanon for the life of the program.

5. Conduct a “close out” press conference to highlight the work conducted under the grants program and identify successful models for dealing with anti-corruption in the context of Lebanon.

6. Conduct an evaluation of the program to assess the lessons learned during the course of the implementation as well as identifying and analyzing the various approaches used through the small grants program. This report, limited to twenty (20) pages or less, along with a final report from the recipient, will be sent to USAID/OTI and USAID/Lebanon within forty-five (45) days after the “close-out” press conference.

F. PERFORMANCE GOALS

Goal:

To strengthen indigenous, anti-corruption efforts in Lebanon.

Indicators:

- Number of activities funded through the program which meet eligibility criteria.
- Assessed impact of grants (using the impact scale in Attachment B which scores each grant from 1-5).
- Number of new actions catalyzed by the program (e.g. new legislation; replication of models or activities by other local and/or international organizations, etc.).

G. OFFICE LOGISTICS

Office: The recipient is expected to maintain an in-country office. The recipient shall be responsible for all office space, equipment and transportation arrangement.

Key Personnel: One long-term ~~US~~ expert is essential for the success of the program. This expert will be the Chief of Party and should have demonstrated technical knowledge and ability in grants administration; and project management and/or NGO development and management. Other staff needs include two local project officers, and an accountant/office manager.

H. ANTICIPATED USAID OVERSIGHT

USAID involvement during the performance of the award will include the following:

1. Approval of all key personnel;

2. Approval of the implementation plan(s) submitted by the recipient, including:

- procedures for identification of grants including criteria for eligibility
- procedures for approving, processing, and monitoring grants
- procedures for assessing impact
- procedures for reporting

SECTION II
INSTRUCTIONS AND CONDITIONS FOR APPLICATIONS

Applicants must set forth full, accurate, and complete information as required by this RFA. The penalty for making false statements in applications to the U.S. Government is prescribed in 18 U.S.C. 1001.

A. PREPARATION AND SUBMISSION INFORMATION

1. Applications shall be submitted at the place designated and by the time and date specified on the cover page of this RFA. Applications received after that date risk not being considered by the evaluation committee. Acceptance and review of applications received after the closing date, but prior to award, is at the sole discretion of the Agreement Officer.

2. Late modifications of an otherwise successful application which make its terms to the Government more favorable may be accepted at any time.

3. Applications may be withdrawn by written, telegraphic, e-mail or fax notice received at any time prior to award.

4. Applications shall be directly responsive to the terms, conditions, guidelines, and provisions of this RFA to be assured of consideration. Applications not conforming to this RFA may be categorized as not meeting the minimum requirements of the Government thereby eliminating them from further consideration.

5. The Government reserves the right to enter into discussions with one or more applicants in order to obtain clarifications or additional detail, or to suggest refinements in the program description, budget, or other aspects of the application.

6. Applications submitted can combine their Technical and Financial Plans.

7. Applicants shall submit an original and four (4) copies of their submissions.

8. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No cost chargeable to the proposed Agreement may be incurred before receipt of either a fully-executed cooperative agreement or a specific, written authorization from the Agreement Officer.

B. TECHNICAL PLAN (PROGRAM DESCRIPTION)

1. General Information

a. The technical application will be the most important item of consideration in selection for award of the Agreement. It shall be specific, complete, and presented concisely. Applicants shall review all information in this RFA in depth prior to preparing applications.

b. To assess the applicant's capabilities, commitment and administrative management capacity to implement the type of activities described in this program description and to evaluate their specific plans for implementing this activity, applicants are requested to provide all relevant information.

c. The technical application must set forth in detail the conceptual approach, methodology, and techniques for the accomplishment of the stated objectives. It must have a definitive workplan for achieving program goals. The program must define results and benchmarks for monitoring progress in achieving the results. An internal monitoring and evaluation plan must be included as well as a sustainability plan. Coordination with external USAID monitoring will be particularly important.

d. Whereas the RFA (in Section I "Program Description") has described the goals and anticipated results for the full life of the program, the applicant must propose an overall strategy covering the life of the program (1 year) with an action plan and timeline on how they plan to achieve goals and results and indicate how they plan to measure performance.

e. Applications will be evaluated based upon the level of achievement proposed and the realism of the plan for reaching that level of achievement. Recipient performance will be evaluated against the standards proposed by the applicant and accepted by the Government, so well documented realism in the statement of these program objectives is essential.

f. It is recommended that an applicant studies the selection/evaluation criteria outlined in Section III of the RFA and organizes its application accordingly.

g. The applicant will discuss how resources will be organized to obtain anticipated results. The applicant must discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.

2. Technical Plan Contents

The Technical Plan shall be concise and shall not exceed fifteen (15) pages. Personnel resumes and past performance references are excluded from this page limitation. The Technical Plan should include the information specified in paragraphs a - e, below.

a. Technical Approach

(1) **Implementation Plan** and **Activity Outline** addressing the following areas:

(A) General strategy and specific approach;
(B) Phasing of proposed activities;
(C) Proposed partnerships;
(D) In-country training;
(E) Supervision support;
(F) Materials production;
(G) Research/special studies.
(H) Process for identifying activities

(2) Annual **timetables**, detailing anticipated results, targets and performance indicators.

(3) **Monitoring and Evaluation plan**, including **performance indicators**, to measure and report on the recipient's progress towards achieving the proposed results in accordance with the proposed timetable.

b. Personnel Proposed

Specify the composition and organization structure of the entire implementation team (including home office support) and describe each staff member's role, technical expertise and estimated amount of time each will devote to the project. Indicate the names and provide resumes of all-important managerial and technical personnel to be assigned to this program activity.

c. Organizational Capability

Applicants must offer evidence of their technical resources and expertise in addressing grants administration, program management, and experience (if any) in democracy-building/political development. Care shall be taken to establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success on this program. Information in this section should include (but is not limited to) the following:

(1) Brief description of organizational history/expertise;

(2) Pertinent work experience and representative accomplishments in developing and implementing programs of the type required under the proposed RFA;

(3) Relevant experience with proposed approaches;

(4) Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines/areas;

(5) Sub-recipient capabilities and expertise;

(6) Proposed field management structure and financial controls;

(7) Home-Office Backstopping;

(8) Collaboration with governmental services, national NGOs and grass roots organizations.

(9) Speed with which start-up can be undertaken

d. Past Performance References

Applications must include a complete list of all U.S. Governmental and/or privately funded contracts, grants, cooperative agreements, etc. received by your organization in the last three fiscal years involving programs similar to the program proposed in your application. Include the following for each award listed:

(1) Name of awarding organization or agency

(2) Address of awarding organization or agency

(3) Place of performance of services or program

(4) Award number

(5) Amount of award

(6) Term of award (begin and end dates of services/program)

(7) Name, current telephone number, current fax number, and Internet address (if one is available) of a responsible technical representative of that organization or agency

(8) Brief description of the program

C. FINANCIAL PLAN AND BUSINESS MANAGEMENT INFORMATION

There is no page limitation for the Financial Plan and Business Management Information part which shall include the information in subsections 1 - 6, as detailed below:

1. Application Standard Forms

Complete and submit the following required forms, which are included in Attachment 3 of the RFA:

a. SF 424, "Application for Federal Assistance"
b. SF 424A, "Budget Information - Non-Construction Program
c. SF 424B, "Assurances - Non-Construction Programs.
These forms can be found on the Internet at this location: http://www.info.usaid.gov/ads.html. From there, click on “Business and Procurement”; then click on “USAID Procurements”; then click on “Forms for USAID Solicitations”.

A copy of the forms and instructions are included with the RFA. Mark "N/A" for sections on the forms that are not applicable.

2. Financial Plan (Budget)

a. The financial plan should be fully supported by cost data adequate to establish the reasonableness of the proposed costs. All costs, and in particular, salaries, benefits, allowances and travel, must be based on written compensation and travel policies of the employer organization.

b. The financial plan shall contain: (i) a summary budget page, with total costs by each cost category, (ii) annual budgets defined by major program activities, and (iii) detailed budget notes and supporting justification of all proposed budget line items.

c. For the annual budgets, the total estimated cost for each major program activity must be supported by detailed cost line items, such as personnel salaries and wages, fringe benefits, consultants (i.e. non-employees), allowances, travel and transportation, per diem, training, equipment, subcontracts/subgrants, other direct costs and indirect costs:

(1) Indicate the name, annual salary, and expected level of effort of each person charged to the Application. Provide resumes showing work experience and annual salary history for at least the three most recent years for major personnel.

(2) If not included in the indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employees, and benefits included in the rate.

(3) The same individual information for consultants shall be provided as for regular personnel.

(4) Allowances should be broken down by specific type and by person, and must be in accordance with the applicant's policies.

(5) Travel, per diem and other transportation expenses should be detailed in your Application to include number of international trips, expected itineraries, number of per diem days and per diem rates.

(6) Specify all equipment to be purchased and the expected geographic source.

(7) Financial Plans for all subgrants and subcontracts shall have the same format and level of detail as those of the applicant.

(8) Other direct costs such as supplies, communication costs, photocopying, visas, passports and other general costs should be separate cost line items.

(9) Provide details for all home office support that is to be provided.

3. Negotiated Indirect Cost Rate Agreement

Submit a copy of the most recent indirect cost rate agreement negotiated with your organization's cognizant U.S. Government agency.

4. Organizational Capability, Consortia and Subgrants/Subcontracts

The applicant must demonstrate to the satisfaction of USAID that it has the management, staff, and financing necessary to provide the effort described within the application. This is particularly true for consortia, which entail more complicated financial management procedures. In such cases, the applicant shall clearly state its plan for identification and management of the subagreements, including: a) conducting pre-award surveys; b) monitoring advances to subrecipients; c) conducting financial reviews and verification of reimbursements; and d) administering subrecipient audits. Identify the extent to which competition will be utilized. Subgrantees/subcontractors must submit all the forms, certifications and general information (detailed in the paragraphs above) as required of the applicant.

D. DISCLOSURE OF INFORMATION

1. The applicant is advised that, pursuant to the Freedom of Information Act, the public be entitled to request information from Agency files. As a general rule, information included in the successful application may be disclosed, except:

   a. Information submitted in response to a solicitation before award of an agreement;

   b. Information properly classified or administratively controlled by the Government; and/or

   c. Information specifically exempted from disclosure under the Freedom of Information Act.

2. Upon issuance of the Agreement resulting from this RFA, the Government may disclose, use, or duplicate any information submitted in response to the RFA to the extent provided in the Agreement and as required by the Freedom of Information Act.

SECTION III

APPLICATION REVIEW AND EVALUATION PROCESS

A. General

1. All applications will be reviewed by a USAID/Lebanon technical evaluation committee and rated according to the criteria specified in section B. below. Selection for award will be on the basis of a well developed, comprehensive and creative Application, past field experience, demonstrated ability to manage financial and human resources, and cost effectiveness.

2. To the extent that they are necessary, negotiations will be conducted only with the applicant whose application is likely to receive funding.

3. Subject to the availability of funds, an award will be made based on the technical ranking, cost consideration, and past performance.

4. Following the review of applications, a letter will be sent to the submitting organizations stating the results of the application review. Generally speaking, comments will be provided regarding applications that do not meet the guidelines or are otherwise not selected for award, indicating the ways in which the applications were deficient.

5. USAID reserves the right to determine the resulting level of funding for the agreement.

6. Only organizations determined to be financially and administratively responsible are eligible to receive an award.

B. Selection/Technical Evaluation Criteria

1. Mandatory Criteria

The applicant must be a US Private Voluntary Organization, or a US Non-Governmental Organization and have an established in-country presence in Lebanon. Applicants must satisfy this criterion to be eligible for further consideration.

2. Evaluation Criteria

Applications will be evaluated based on criteria set below.

1. ***Proposed Approach and Strategies*** ***(30 points)***

   a) Workplan for implementing activities.

   b) Innovative program design and approaches.

   c) Proposed performance monitoring plan.

2. ***Institutional Capability and Past Experience (20 points)***

   a) Demonstrated organizational ability to plan, implement, and support a grants program~~s~~ with the range of activities outlined in the RFA.

   b) Demonstrated ability in implementing similar programs that have achieved effectiveness, scale, depth of outreach and desirable levels of behavioral change.

   c) Quality of service and cost control. This includes consistency in meeting goals and targets, cooperation and effectiveness in fixing problems, adherence to schedules, and accuracy in financial reporting that meets USAID reporting and accountability requirements.

   d) Demonstrated past performance of good organizational and management practices. Established procedures for managing assistance activities with USAID and/or other donors.

3. ***Human Resources*** ***(30 points)***

   a) Technical and managerial qualifications and experience of the proposed personnel, and the appropriateness of their technical training and experience. This includes host country employees and partners.

   b) Appropriate utilization of local host country resources.

   c) Knowledge and demonstrated experience and ability to understand and work collaboratively in Lebanon or in countries with similar cultures and environment.

4. Proposed budget and its ability to carryout the proposed program

(20 points).

TOTAL = 100 points

Note: Proposals which provide a cost share of 25% or greater by the applicant will receive an additional 10 points.

Appendix A: Illustrative Examples of Possible Sub-Grants

Based on an August 1999 assessment of the demand for a small grants program focused on transparency and accountability, the following examples emerged from the extensive interviews which were conducted by the consultant. They are simply for illustrative purposes of the kinds of projects which may emerge from the small grants program.

OBJECTIVE	**PRODUCT**
Training for municipal councils on issues of transparency and accountability.	Training program and specific reforms which can be delivered to other municipalities.
Research and publish clear guidance on how to apply for various licenses and permits.	Specific brochures which can be printed, distributed and posted on the Internet.
Incorporating the function of an ombudsman into a governmental agency.	Permanent ombudsman position operating within a public agency. Can serve as reform model.
Monitoring of community environmental concerns and holding public and private interests accountable.	An environmental handbook which can be widely distributed and posted on the Internet for use by other NGOs and communities.
Official recognition of a Lebanese NGO by Transparency International and the development of a TI program in Lebanon.	Establishing an important international relationship which will allow for continued work by a Lebanese NGO on anti-corruption issues.
Youth awareness and training on anti-corruption activities, and the toll taken on Lebanese society.	Creation of a permanent Youth Section within an NGO which has been recognized by Transparency International.

Development of ethics courses in programs of public administration and business.	Incorporation of ethics courses into the curriculum of public administration and ethics.
Availability of a network of attorneys who can be available to assist municipalities on issues of transparency and accountability with the Central government.	Will introduce the concept of “shared municipal resources” and may provide an impetus for a national municipal association. Such an association could be very important in dealing with issues of transparency and accountability.
Develop a template for competitive bidding and standard specifications for physical development projects.	Such a template could be developed into a municipal brochure and made available over the Internet.
Development and implementation of a municipal code of conduct for both elected and appointed municipal officials.	Could serve as a model and template for other municipalities. Could become a brochure and made available over the Internet.
Development of a municipal newsletter which would make important information available to citizens.	Would be ongoing and could serve as a model for other municipalities.
Survey to update property records for a municipality. Could be done by using community volunteers and youth.	Could demonstrate the benefits to the community and the municipality of having updated property records.

Tracking the status of municipal issues which require approval by the Central Government. This tracking would provide objective insights into the actions or inactions taken by the Central government.	A successful tracking system could be a catalyst to reform the highly centralized intergovernmental system.
Creation of a “watch-dog” or monitoring function within an NGO to investigate specific priority issues in areas such as the environment and public health.	Demonstrating the importance of effective monitoring to insure transparency and accountability around a priority concern in the environmental or public health areas. The project could lead to the alleviation or mitigation of the issue.
Training for elected officials in small municipalities around the issues of how to organize; how to conduct project studies; the advantages of working with other communities; the importance of involving citizens; how to obtain project financing. All these steps would reinforce the importance of transparency and accountability in local governance.	Could lead to real change in smaller municipalities.
Develop a program for ethics (transparency and accountability, and anti-corruption) training as a core feature in the training for all military recruits.	This could be an effective way to reach all young men in the country on these issues. If implemented, it would be sustainable into the future.

Monitor and report on the financial balance sheets for all the major public corporations. This reporting would be in a “citizen friendly” format in order to achieve greater transparency and accountability.	If implemented in partnership with the public corporations, it could become a routine part of their annual financial reporting and disclosure.
Hold a major national conference around the theme of “Why Audit Public Administration.” From this conference developing a compelling case why pubic entities need to have an annual audit and full disclosure of their finances. These compelling reasons would center around anti-corruption, economic development, infrastructure development, tax policies, etc.	If publicized with the results of the conference being widely disseminated to all public entities, it could have a major impact on increasing the commitment to have public bodies conduct annual, professional audits with full public disclosure.
Training for elected municipal officials in the rights of Lebanese municipalities under current law. This training would emphasize the importance of carrying out these rights and responsibilities in a transparent and accountable manner.	Could provide important information to municipal leaders about the ability of their governments to perform their duties with transparency and accountability. Could lead to important attitudinal changes.

Monitoring the distribution of local government funding from the central government and making this information available to all municipalities in a consistent and reliable format.	Could produce very important information which may lead to reforming the current intergovernmental fiscal relationships between local governments and the central government.
Training of professionals who work with governments: professionals such as lawyers, accountants, engineers, etc. This training would emphasize the rule of law, transparency and accountability.	Could create a cadre of professionals committed to working with public agencies to enhance transparency and accountability in government at all levels.
Research and publish the international treaties which Lebanon has signed and which specifically deal with issues of anti-corruption, transparency and accountability.	Could serve as very useful information to NGOs committed to reforming government practices related to anti-corruption, transparency and accountability.

Appendix B: Illustrative Example of Impact Scale for Assessing Grants Impact

Guidelines for Determining the Impact of USAID/OTI Grants

I. IMPACT: *a strong impression or effect on somebody or something*

Measuring the impact of an activity is a difficult process because we cannot directly measure impressions or effects. Instead, we use proxy measures -- indirect measurements when you cannot directly measure something. As a result, any one proxy measurement will do a poor job of assessing the impact of an activity. However, using several proxy measurements in combination will begin to create a clearer view of what the "impression" or "effect" of that activity is. Measurements will be both qualitative and quantitative. For OTI's grants, there are four main types of proxy measurements to use in assessing an activity's impact :

1. **Provocativeness of the Activity**
2. **Number of People and Target Population Reached by the Activity**
3. **Timing of the Activity**
4. **Output from Activity/Follow-on Activities**

Descriptions:

Provocativeness of the Activity: To what extent does the activity encourage people to think in new ways or are the same old topics being discussed? Assessment can be measured in absolute terms (e.g. I want to be your friend instead of harming you) or in relative terms (e.g. I'll call you bad names instead of harming you). Just state whether the provocativeness is absolute or relative because a relative improvement may not be evident to others unless identified as such. Primarily, the measurements for provocativeness are based on *reactions* to the activity which *indicate* that an impression or effect was achieved.

Possible Measurements:

* What was the topic?
* How did others respond to the activity? How did the government respond? Was the response positive or negative?
* Did the media respond to the activity? How much coverage? What type (radio/TV/print)? Was it favorable or unfavorable?
* Increase in callers? By how much? Were they informed or uninformed about the issues?

Numbers of People and Target Population Reached by Activity: In using this measurement, we generally make an assumption that the more people or the more people from the target population reached by the activity, the greater the impact of that activity.

It is impossible to separate numbers of people from the target population because large numbers of the wrong type of people reached can make an activity low impact while small numbers of the right type of people can make an activity high impact. We know that often, the true impact of an activity goes beyond the scope that we are measuring (e.g. more people may read a newspaper than just the subscriber). Therefore, we use measurable numbers (e.g. newspaper circulation, number of posters produced, etc.) as our indicators understands that the they will usually underestimate the true impact of the activity.

Possible Measurements:

* Who is the target population? The general public? Newspaper readers? Youth? Women?
* How well was the target population reached? Is the target audience active? influential? In what way?
* How many people attended the activity? Who? Were summary reports made? How many? Distributed to whom?
* How many posters made? Where were they put up? In how many cities? Which cities?
* How many subscribers are there? How many copies were made? How many returned? What is the trend -- increasing or declining circulation?
* How many people did the activity assist?
* What is the listenership?
* What is the coverage of the activity? A city? A region? The whole country?
* How many people filled out evaluation/response forms?

Timing of the Activity: Supporting an activity in conjunction with an important event or when the issue is high profile can create an impact that is higher than if the activity were undertaken alone. Most often, activities are supported to increase their profile when it is low. When other means have made the issue high profile, activities which relate to this issue can be influential in determining the outcome of that issue. Timing is perhaps the most important single factor in determining an activity’s impact.

Possible Measurements:

* Is the activity supporting an issue that is high profile? What is the issue? Why is it high profile?
* Is the momentum for change already there? How did the activity complement that momentum?
* Is the issue under public debate? public scrutiny?
* Are changes being discussed? Are all options under consideration?
* Have new laws been introduced or enacted?

Output from Activity/Follow-on Activities: What happened as a result of this activity? Direct action taken as a result of an activity or some change occurring as a result of the activity are one of the clearest measures of impact. The more follow-on activities that occur as a result of the original activity, the greater the impact.

Possible Measurements:

* Was a summary written? Who many copies? To whom?
* Was a resolution established? Who was it sent to?
* Were people encouraged to take action as a result of this activity? How?
* Were action groups formed from the activity?
* What types of new activities were undertaken based on the original activity?
* Will the activity happen again? Will it become a regularly scheduled activity?

II. IMPACT SCORES

Individual project officers, using these criteria should fill out an impact statement sheet for each PTG and assign the activity an impact score based on a scale of 0-5.

5 = highest impact
4 = high impact
3 = medium impact
2 = low impact
1 = no impact
0 = negative impact

The country director should then review the impact score to concur or if he/she disagrees then discuss with the project officer to reach agreement.

III. IMPACT SCORE REVIEW

The impact of an activity may change over time. Therefore, we describe the impact measurement process as rolling monitoring (i.e. continuous monitoring).

Example: A magazine is funded to produce twelve issues. The first couple of issues are not very provocative and not reaching many people. It is given a low impact score (2). In the tenth issue, there is an investigative report that a government minister is accepting bribes and as a result of the article, he is forced to resign. Upon review, the magazine's impact score is re-rated as highest impact (5).

This process of looking back at grants to determine if their impact has changed should be a periodic task (perhaps every 3 or 6 months) and not exceed the length of a single meeting. What this exercise is intended to do is to look for dramatic changes both positive and negative in the impact of activities. It is less important to detect the smaller changes (an impact score change of one or maybe even two unless reflective of a trend) than the larger ones. If the change is dramatic, it will usually be evident. It is not necessary to contact grantees who were funded for one-time projects where we have had little follow-up contact to try and "investigate" for changes in the impact of their activity. Only perhaps if the grant was sufficiently large enough at the time to warrant making contact again.